

FORM PTO-1390 (REV 10-94)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 10873.1565USWO
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) Unknown <b>10/511931</b>
INTERNATIONAL APPLICATION NO. PCT/JP03/04874	INTERNATIONAL FILING DATE 17 April 2003	PRIORITY DATE CLAIMED 19 April 2002	
TITLE OF INVENTION OPTICAL INFORMATION RECORDING METHOD, OPTICAL INFORMATION RECORDING DEVICE AND OPTICAL INFORMATION RECORDING MEDIUM			
APPLICANT(S) FOR DO/EO/US NARUMI, et al.			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).</li> <li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>			
Items 11. to 16. below concern document(s) or information included:			
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.			
12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.			
13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.			
14. <input type="checkbox"/> A substitute specification.			
15. <input type="checkbox"/> A change of power of attorney and/or address letter.			
16. <input checked="" type="checkbox"/> Other items or information: Application Data Sheet, Communication Regarding Requested Figure, Communication Under 37 C.F.R. 1.32(c)(3), International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308, Form PCT/IPEA/409			

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

Unknown

10/511931

INTERNATIONAL APPLICATION NO.

PCT/JP03/04874

ATTORNEY'S DOCKET NUMBER

10873.1565USWO

17. [X] The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):**

Search Report has been prepared by the EPO or JPO..... \$950.00

International preliminary examination fee paid to USPTO

(37 CFR 1.492(a)(1))..... \$750.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482)

but international search fee paid to USPTO (37 CFR 1.445(a)(2))..... \$790.00

Neither international preliminary examination fee (37 CFR 1.482) nor

international search fee (37 CFR 1.445(a)(3)) paid to USPTO..... \$1100.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

and all claims satisfied provisions of PCT Article 33(2)-(4)..... \$100.00

**CALCULATIONS PTO USE ONLY****ENTER APPROPRIATE BASIC FEE AMOUNT = \$950.00**Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

**CLAIMS****NUMBER FILED****NUMBER EXTRA****RATE**

Total claims

59

-20 =

39

X \$18.00

\$702.00

Independent claims

3

-3 =

0

X \$88.00

\$0.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$300.00

\$

**TOTAL OF ABOVE CALCULATIONS = \$1,652.00**Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed  
pursuant to 37 CFR 1.27

\$

**SUBTOTAL = \$1,652.00**Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

+ \$

**TOTAL NATIONAL FEE = \$1,652.00**Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+ \$

**TOTAL FEES ENCLOSED = \$1,652.00**Amount to be:  
refunded

\$

charged

\$

a. [X] Check(s) in the amount of \$1,652 to cover the above fees is enclosed.

b. [ ] Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 13-2725.**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Douglas P. Mueller

MERCHANT &amp; GOULD

P.O. Box 2903

Minneapolis, MN 55402-0903

SIGNATURE: 

NAME: Douglas P. Mueller

REGISTRATION NUMBER: 30,300

10/511931

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: NARUMI, et al.

Docket: 10873.1565USWO

DT03 Rec'd PCT/PTO 18 OCT 2004

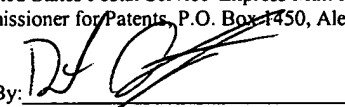
Title: OPTICAL INFORMATION RECORDING METHOD, OPTICAL INFORMATION RECORDING DEVICE AND OPTICAL INFORMATION RECORDING MEDIUM

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EV 408490589 US

Date of Deposit: October 18, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By:   
Name: David Ortiz

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:

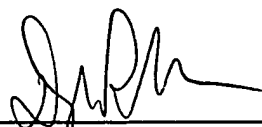
- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 40 pgs; 59 claims; Abstract 1 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 13 sheets of formal drawings
- ☒ A signed Combined Declaration and Power of Attorney
- ☒ Assignment of the invention to Matsushita Electric Industrial Co., Ltd., Recordation Form Cover Sheet
- ☒ A check in the amount of \$1652.00 to cover the Filing Fee
- ☒ A check for \$40.00 to cover the Assignment Recording Fee.
- ☒ Application Data Sheet, 4 pages.
- ☒ Other: Form PTO-1390, Communication Regarding Requested Figure, Communication Under 37 C.F.R. 1.32(c)(3), Preliminary Amendment, International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308, Form PCT/IPEA/409
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$950.00
Total Claims								
59	-	20	=	39	x	18.00	=	\$702.00
Independent Claims								
3	-	3	=	0	x	88.00	=	\$0.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$1652.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
(612) 332-5300

By:   
Name: Douglas P. Mueller  
Reg. No.: 30,300  
Initials: DPM/pjk

23552

PATENT TRADEMARK OFFICE

(PTO TRANSMITTAL - NEW FILING)

S/N Unknown

PATENTIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	NARUMI, et al.	Examiner:	Unknown
Serial No.:	Unknown	Group Art Unit:	Unknown
Filed:	Herewith	Docket No.:	10873.1565USWO
Title:	OPTICAL INFORMATION RECORDING METHOD, OPTICAL INFORMATION RECORDING DEVICE AND OPTICAL INFORMATION RECORDING MEDIUM		

CERTIFICATE UNDER 37 CFR 1.10:

"Express Mail" mailing label number: EV 108490589 US

Date of Deposit: October 18, 2004

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By: \_\_\_\_\_  
Name: David Ortiz

COMMUNICATION REGARDING REQUESTED FIGURE

Mail Stop New App  
Assistant Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In connection with the above-identified application, applicant respectfully requests that Figure 1 be printed on the front page of the published application.

If a telephone conference would be helpful in resolving any issues concerning this communication, please contact Applicants' primary attorney-of record Douglas P. Mueller (Reg. No. 30,300), at (612) 371.5237.

Respectfully submitted,

MERCHANT & GOULD P.C.  
P.O. Box 2903  
Minneapolis, Minnesota 55402-0903  
(612) 332-5300

Dated: October 18, 2004

By: \_\_\_\_\_  
Douglas P. Mueller  
Reg. No. 30,300

DPM/pjk

**23552**

PATENT TRADEMARK OFFICE

S/N Unknown

10/511931  
DTG Sec'd PCT/PTO 18 OCT 2004  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

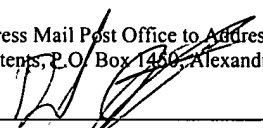
Applicant: NARUMI, et al. Examiner: Unknown  
Serial No.: Unknown Group Art Unit: Unknown  
Filed: Herewith Docket No.: 10873.1565USWO  
Title: OPTICAL INFORMATION RECORDING METHOD, OPTICAL  
INFORMATION RECORDING DEVICE AND OPTICAL INFORMATION  
RECORDING MEDIUM

CERTIFICATE UNDER 37 CFR 1.10:

"Express Mail" mailing label number: EV 108490589 US

Date of Deposit: October 18, 2004

I hereby certify that this paper or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By:   
Name: David Ortiz

COMMUNICATION UNDER 37 C.F.R. §1.32(c)(3)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §1.32 (c)(3) please appoint the following 10 practitioners named in the Power of Attorney to be recognized by the U.S. Patent Office as being of record in the above-identified application:

Brian H. Batzli (32,960)  
John A. Clifford (30,247)  
John J. Gresens (33,112)  
Curtis B. Hamre (29,165)  
Robert A. Kalinsky (50,471)

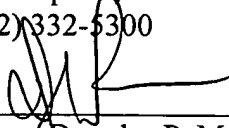
James A. Larson (40,443)  
Douglas P. Mueller (30,300)  
Joshua N. Randall (50,719)  
Michael D. Schumann (30,422)  
Gregory A. Sebald (33,280)

The undersigned was named on the Power of Attorney.

Respectfully submitted,

MERCHANT & GOULD P.C.  
P.O. Box 2903  
Minneapolis, Minnesota 55402-0903  
(612) 332-5300

Dated: October 18, 2004

By   
Douglas P. Mueller  
Reg. No. 30,300

DPM/pjk

**23552**

PATENT TRADEMARK OFFICE